respectfully requests that he be permitted to delay correction of the drawings until such time as the present application is allowed. At that time, Applicant will submit corrected drawings. It is believed that the inclusion of the missing reference numerals and legends will resolve those informalities in the disclosure also.

## 1. BACKGROUND

In response to examiner's first Action dated 10/02/01, applicant filed his first Amendment on March 4, 2002. On March 6, 2003 applicant had an interview with examiner to show a video of surface and subsurface tests of Transonic Hull models. It was necessary at that time for applicant to revoke the power of attorney of Adam Jacobs, since otherwise examiner would not have discussed any claims with applicant in the absence of his attorney, who was not present for the interview (applicant did not know his presence was necessary). As coordinated during the interview, promptly thereafter, on March 13, 2003, applicant submitted a Supplementary Amendment pertaining some changes on its claims filed on of March 4, 2002, and presenting two new claims covering radarevading inventive features, which were reviewed during the interview and appeared to be allowable. Shortly thereafter, on April 30, applicant received a Final Action which indicated that the March 13, 2003 Amendment had not been considered for not complying with the format under 37 CFR 1.121. To expedite the prosecution of this case, the technical aspects of the interview, reviewed on the interview, are summarized in Appendix I of this Amendment, including an outline of the TH video, photos of unpowered TH mockups in static tests in a sea, and published illustrations of latest (2002) stealth boat configurations of various ship companies.

## 2. CURRENT SITUATION

Applicant appreciates the claims which the final action of April 30, 2003 stated were allowed or allowable. Other important claims were rejected citing new prior art, namely Spear, Patent No. 1,154,215 issued in 1915 on a submarine, Wheless, Patent No. 806,223, issued in 1905 on a submergible surface boat, and Briggs, Patent No. 2,444,332, issued in 1944 on wing folding arrangement for submersible aircraft. An in-depth diligent response by applicant is now needed, particularly for the following reasons:

- time. rejection.
  - Applicant has finally found funding to construct the first manned engine-powered mission-capable TH boat, based on the unique surface-subsurface and radar-evading multimission TH configuration of the type covered by the present application. The new TH program is the crucial culmination of the extensive theoretical and experimental model test program on TH reviewed in the March 6, 2003 interview (see Appendix I), which lead to the unpowered non-structural testing mockup already reviewed on March 6.
  - Important claims which were indicated to be allowable in the March 6 interview pertaining to the radar-evading features and were promptly submitted under the supplementary amendment of March 13, 2003 were not considered due to their being submitted in acceptable format. As Attorney Adam Jacobs was not involved at that time, the format problems were not resolved, hence the submission of the previously submitted claims at this time.
  - Other important claims in the application have been rejected on additional prior art cited by the Examiner after the March 6, 2003 interview, and now are being addressed under final rejection.

Towards filing the present amendment with appropriate diligence, applicant has reappointed attorney Adam Jacobs of Omaha, Nebraska, Reg. No. 37,852, who was already familiar with the case. The corresponding Power of Attorney is signed and attached herewith.

Moreover, applicant has visited Omaha for four days to assist Mr. Jacobs towards an in-depth and responsive amendment which applicant, having in mind the crucial culminating TH program for a mission-capable, manned, engine-powered TH boat, respectfully requests be fully considered by the examiner on the merits of the application and this amendment.

3. TASKS OF THE PRESENT AMENDMENT

A summary of the tasks of this amendment are as follows:

- to cancel certain claims,
- to show the allowability of important remaining claims filed by amendment of March 4, 2002

over the recently cited art, and

to add the two claims (53 and 54) which were discussed during the March 6 interview and which appeared to examiner to be allowable, adding here that the new art cited by examiner in his action of April 30, 2003 are not at all related to these two claims.

Before proceeding further in this amendment it is noted that there are minor discrepancies in the Summary of the office action of October 4, 2002 and the content of Examiner's Detailed Action, specified in his pages 2, 3, 4, 5, and 6. The present response pertains specifically to the content of Examiner's Detailed Action, it being understood that the discrepancies in the summary are numerical errors.

4. GENERAL COMMENTS ON ACTION OF APRIL 30, 2003

The following is presented in the same numerical order as in the detailed action.

- 4.1 It is recognized that the Supplemental Amendment of March 13 has not been entered. Some of its content is included in the present Amendment, with consideration given to the old art newly cited by examiner. However, it is understood that the Supplementary Amendment, which reviews the technical presentation during the interview, as well as the discussions on the claims reviewed at that time, remains in the file of the present application.
  - 4.2 Applicant appreciates the approval of substitute specification of 7/31/2002.
- 4.3 Applicant agrees that Fig. 1 and 2 of his application will be designated as prior art and respectfully requests this instruction be carried out upon allowance of the case, at which time all the drawings of the application will be resubmitted in clean form.
- 4.4 The clarification required by Examiner regarding weights of water displaced is appropriate, in which there was an evident predominance of legal language over technical language. The subject has been clarified by this amendment.
- 4.5 Applicant appreciates the claims allowed and allowable in examiner's action of April 30, 2003.
- 4.6 Paragraphs 5 to 16 of Examiner's Action of April 30, 2003 pertain to rejection of many claims in the application, in light of new art cited by examiner, but also including other

shortcomings in certain claims.

- 4.7 The conditions of the claims in the April 30, 2003 Action are summarized as follows:
- Claim 25 and 26 remain in an allowed condition.
- Claims 1-4, 6-16, and 19 are allowable if rewritten or amended to overcome rejections under 35 U.S.C. 112, second paragraph, as failing to particularly point out and distinctly claim the subject matter which applicants regards as the invention.
- Other claims, some of considerable importance for the application, are rejected under 35 U.S.C. 102(b) as anticipated by prior art recited previously as cited by examiner.

## ON THE ALLOWANCE OF ALL REMAINING CLAIMS

Claim 1 has been amended to correct the § 112 indefiniteness problems, specifically the problems, as have claims 7 and 13. Claim 16 has been modified to clarify those features which applicant regards as his invention and thus is believed to be allowable with claim 1, specifically by including technical specifications shown on page 17, paragraphs 3, 4 and 5 and the claim has been amended directly with the technical language of the specifications and should clearly be allowable as amended. It is thus believed that claims 1-4, 6-16 and 19 are now in allowable condition.

Claims 17, 18 and 20 through 24 were canceled. Claims 25 and 26 are allowed over the prior art. Claims 27 and 29 have been canceled. Regarding claims 28 and 30, they have been amended to depend from claims 41 and 25 respectively and as each of claims 41 and 25 are believed to be allowable (claim 25 certainly so), claims 28 and 30 are believed to be allowable with claims 41 and 25.

By way of further discussion on the rejections of claims 28 and 30, applicant states as follows: Perce necessarily teaches a body with hemispherical rear end number 20, 16. Bandy necessarily teaches <u>rudders</u> 24 and 28 mounted on his cylindrical rotatable body 22. Those skilled in the art cannot confuse rudders with flaps. Cylindrical and hemispherical rear body shapes of the art cited are not compatible with applicant's rear body shapes which are wedges. The aft face of Bandy's rear cylinder is perpendicular in side view to his longitudinal dimension and cannot be

construed as an edge. On the merit of the above discussion applicant respectfully indicates Bandy and Perce are not art that can be cited for the properly amended claim.

Claim 31 depends from allowable claim 30, while claim 32 now directly depends from claim 25, which has already been allowed. Claims 33, 34 and 35 have been canceled. Regarding claim 36, it has been amended to depend from allowed claim 25, and thus is believed to be allowable, but applicant would make the following statements regarding Perce for the record. Claim 36 specifies that applicant's body with wings has a center of buoyancy on surface different from a center of buoyancy in subsurface. In Examiner's action of October, 2, 2001, Claim 36 was rejected on Perce, with Examiner stating that a shift of the center of buoyancy as claimed is an inherent feature in submersible craft. This argument is repeated in Examiner's action of April 30, 2003.

Applicant has diligently read the entire patent of Perce with the following facts noted:

- a) Perce is concerned only with control maneuvers and speed (col. 1, lines 18-22).
- b) Perce has a forward set of (control) fins, and a separate set of aft fins (column 1, lines 21-22).
- c) The fins are for maneuver (Perce, col. 1, line 52).
- d) Perce states "the controls features of the underwater craft and the surface craft will be the same" (col. 1, lines 59-60).
- e) Perce boat must have a center of gravity, and therefore a center of buoyancy at the same station.
- f) Perce does not mention the term center of buoyancy, or any equivalent term in his specification.

It follows from d) and e) that a person skilled in the art concludes that Perce has only one center of buoyancy. Moreover, Perce teaches nothing on center of gravity or center of buoyancy. Perce is unrelated to Claim 36. In consequence, applicant respectfully states that the rejection of applicant's claim with two buoyancy centers based on Perce is not supported by Perce. Moreover, it is respectfully submitted that all submersibles have one center of gravity on surface and submerged, and consequently one center of buoyancy. A unique feature of applicant's invention is his use of aircraft theory in the design of his winged water craft, in which, specifically, the type and

total of vertical forces change substantially from gravitational on surface to gravitational plus substantial hydrodynamic forces in subsurface, the latter specifically located at a different longitudinal station than that of the center of gravity. This allows on applicant's body to shape the body so it has two center of buoyancy CB as follows:

- surface CB necessarily at center of gravity
- subsurface CB responding to the vector sum of downward gravity force at CG plus hydrodynamic down force at its hydrodynamic center (similar to aircraft's aerodynamic center), which is intentionally at a longitudinal station different from the CG.

In consequence, applicant indicates Claim 36 should be allowable over Perce or other submersible art. Realizing that the argument above is better understood with original dependent Claim 37 which is dependent on original Claim 36, applicant has incorporated the limitations of Claim 37 in Claim 36, also adding specific language which complies with the technical aspects above. In consequence, Claim 37 is canceled, and applicant respectfully submits that amended Claim 36 is now allowable. To further expedite the prosecution of this case Claim 36 has now been made dependent on Claim 25, which, as was previously stated, is allowed.

Regarding claim 38, it should be noted that the claim pertains to body shape above water surface and was rejected originally by Mills in Examiner's first action, and thereafter as dependent on canceled claim 20, and as indefinite. The rejection on Mills is not understood because Mills shows either a subsurface shape in his Fig.1 (Mills, column 1, lines 10-14) or a shape below the waterplane of surface boat, as in Fig. 2, (column 2, lines 15-24). Fig. 2 does not show any body shape above the waterplane of his boat.

Accordingly, the rejection of claim 38 on Mills does not appear to impede claim 38. Nevertheless, there are more important additional points of distinction between claim 38 when amended to overcome its rejection on indefiniteness, which make amended claim 38 even more distinct and therefore in greater clarity against Mills.

The rejection of claim 38 on its dependence on canceled claim 20 was an inadvertent error. It was intended, and is hereby made dependent on allowed claim 25, with additional language which

renders claim 38 precise and not indefinite. The principal features of the amendment on claim 38 1 2 3 5 6 7 8 9

4

10

11

12

13

14

15

16

17

18

19

20

21

22

23

24

25

26

27

are: the specification of the maximum width of the planform adjacent the rearward end, the maximum height of the profile view adjacent midbody, the definition of upper body surfaces as connecting the outer edges of the planform to the upper regions of the profile view, with principal upper body surface panels generally free of twist, all of which is qualitatively different from Mills or from any other of the art cited by Examiner individually or combined, and is no longer indefinite. Applicant therefore respectfully submits that amended claim 38 is now allowable. Claim 39 is dependent on claim 38 and was rejected on indefiniteness and on dependence on canceled claim 20. With the present amendment of present claim 38, and with minor changes in the language of claim 39, applicant respectfully submits that claim 39, now ultimately is allowable in connection with allowed claim 25.

Turning to claims 40 through 43, it should be noted that these claims are critical to the applicant's invention and therefore it is hoped that the following discussion of the allowability of amended Claims 40 to 43 over Spears and over Mills will be subject to particular scrutiny by the examiner. Claim 40 to 43 pertain to the surface and subsurface TH shapes shown in Fig. 5, which is scaled, and in Fig. 3. These shapes have unique hydrodynamic properties, which were covered in claims 40 to 43 and rejected on Spears' for reasons which are understood. Since applicant's invention is clearly different in kind from Spears, and from Mills, before proceeding to review the amendments which make claims 40 to 43 allowable over both Spears and Mills, applicant would like to review certain inherent characteristics of Spears and of Mills, from which applicant's invention differs qualitatively and structurally.

Spear's submarine shows an overall height in profile adjacent its bow (his Fig. 1) approximately equal to the overall width in planview adjacent its rearward end; the latter defined by the width of elevator appendages protruding laterally outside his elongated body (his Fig. 2). However, claim 40 recites an "elongated body" and the elongated body of Spears' has an overall height between upper and lower surface portion adjacent to is bow (0.55 inches in Fig. 1) which is considerably larger than the width between right and left side of Spears' elongated body in planview adjacent to his rearward end (0.32 inches in his Fig. 2). Thus, Spear's elongated body teaching is precisely contrary to applicants elongated body, which as shown in applicants' Fig. 5 to scale, has an overall height in side view between its upper and lower surface portions adjacent its bow (Fig. 5E, scaled) which is substantially less (approximately 50%) than the width of applicant's elongated body in planview between right and left sides of its elongated body adjacent its rearward end (Fig. 5C scaled). To clarify this important distinction, claim 40 to 43 have been amended to recite the height in side view adjacent forward end, and width in plan view adjacent its rearward end of its elongated body as the distance between surface portions of the elongated body adjacent its ends.

Applicant's surface and subsurface TH body also differs qualitatively from Mills' submersible, which necessarily has a forward height equal to its rearward width and also must have equal entry-exit angles. Fig. 1 of Mills illustrates the construction embodied in devices for use entirely immersed in water (Mills Pg. 1 column 1, lines 10-14), and specifically and unequivocally calls for a forward height in side view exactly equal to the aft width in planview and an entry angle equal to exit angle: "as shown in Mills' Fig. 1. Both ends being alike, the body will pass through the air, water or other fluid with equal ease in either direction..." (Mills pg. 2, column 1, lines 64-68), as well as is shown in Mills' Fig. 1 equal distance c-c in cross-section at bottom left and distance a'-a' in cross-section at bottom right).

It is further clarified that Mills' Fig. 2 is not relevant, as it does not pertain or teach a submersible form. "...Fig. 2 (Mills) illustrates the form when but two sides are to be subject to the action of resisting fluid medium," (Mills pg. 1, column 1, lines 13-14), a situation further clarified by Mills' qualifications of Fig. 2 "it represents the application of the invention to boats and other craft partially immersed in the water." (Mills', page 2, column 1, lines 20-23). Hence, Mills' Fig. 2 is not relevant to subsurface craft such as applicant's watercraft. It is noted, in passing, that Mills' Fig. 3 is not an embodiment of the invention, but a geometric aid to explain (in convoluted language) Mills' own work.

Furthermore, Mills' boat embodiment in his Fig. 2 differs structurally from applicant's, in that the midbody region of Mills' boat has necessarily only two sides, displacing the water's volume,

as shown in the two diagonal sides b-b at the bottom of Fig. 2 of Mills. In contradistinction, and structurally and hydrodynamically different, applicant's TH midbody when in surface boat mode, has three surfaces displacing the water's volume, for example, as shown in cross section 5D for applicant's TH boat if Figs. 5a and 5b. The qualitative and other distinctions between applicant's craft and Spears' and Mills' boats are incorporated in claims 40-43 as is reviewed below.

Amended Claim 40 is allowable over Spears not only because it now clearly recites that the forward height in side view between upper and lower surface of its elongated body (i.e. surface of that body) is substantially less than the rearward width in planview between right and left sides of the elongated body, as is clearly shown in applicant's Fig. 5, which is to scale, but also because that rearward width is greater that the width of the midbody region of applicant's elongated body, which is clearly impossible for Spears. In claim 40, the substantially reduced height in side view relative to the rearward width in planview is also impossible for Mills' only submersible body (Mills' Fig. 1) which requires a forward height on sideview to be exactly equal to Mills' rearward width in planview as already explained. Furthermore, amended claim 40 now has three surfaces in its midbody, which is clearly different from Mills. Hence, it is respectfully submitted that amended claim 40 is also clearly allowable over Mills.

Regarding claim 41, it should be noted that original claim 41 specified a forward height of approximately 50% of rearward width. Amended claim 41 is now presented in independent form, so that it properly defines forward height in side view and rearward width in planview as pertaining only to elongated body, (i.e. excludes lateral appendages as shown in Spears), and then quantifies the height forward as approximately 50% of the width rearward, clearly contrary to Spears' elongated body, which has a larger forward height than its rearward width, and also clearly impossible for Mills, whose only submersible shape requires a forward height necessarily equal to its rearward width. Moreover, when in surface operation applicant's midbody has three surfaces, clearly qualitatively different from Mills' surface boat of his Fig.2 which has only two surfaces. Hence, it is respectfully submitted that amended claim 41 is clearly allowable over both Spears and Mills.

Regarding claim 42, newly amended claim 42 now clearly overcomes Spears with two basic

restrictions with strict language pertaining its elongated body, as follows: a) midbody height in sideview less than rearward width in planview, clearly impossible for Spears and b) forward body height in sideview substantially less than body rearward width in planform, which is contrary to Spear's teachings, which are the reverse. In addition, restriction b) clearly makes Claim 42 allowable over Mills, which requires forward heights equal to rearwards widths. Moreover, applicant's midbody is qualitatively different from Mills' midbody of his Figure 2, as was reviewed before.

Regarding claim 43, newly amended claim 43 now clearly overcomes Spears with a fundamental restriction possible with strict language pertaining applicant's elongated body as follows: rearward width in planview larger that midbody width in planform. Claim 43 also overcomes Mills' submersible body in that applicant's included angle in profile of its rearward end is substantially larger than the included angle in planview of its forward end, which is clearly impossible for Mills' Fig. 1, which inherently and necessarily has equal angles at forward end and rearward ends, as has been discussed. Moreover, applicant's midbody is qualitatively different from Mills' midbody of his Figure 2, as was reviewed before.

Claim 44 depends from allowable claim 40 and thus is believed to be allowable therewith, and further is believed allowable for the following reasons. Applicant observes that Briggs teaches folding wings deployed for flight of a submersible vehicle and as such is irrelevant to applicant's amended claim 44, which claims hydrodynamic wings for a surface-subsurface water craft. Because water weighs 840 times more than air, anyone skilled in the art could not use the teachings of Briggs aerodynamic wings to Applicant's hydrodynamic wings. Moreover, Briggs teaches that "when the side wings are extended, the submersible aircraft may be used in aerial flight. It is operated in the usual way that an airplane is operated. For riding on the water, or submerging, the submersible aircraft is operated just as a submersible. The side wings are folded into compartment area not to interfere with water operations". (Briggs, column 3, lines 23 to 29). Accordingly, applicant believes that Claim 44 should be allowable over Spear in view of Briggs, in that the teachings of Briggs' wings pertain to flying submersible which when submerged has no wings in contact with water, whereas applicant wings of claim 44 pertain to a water craft not capable of flight having wings which

act in subsurface motion in direct contact with water.

Applicant respectfully submits that amended claim 44 is allowable on two bases. First, it is impossible for a person skilled in the art to apply Briggs' wings for flight, specifically required to be retracted when submerged, to Spear's submersible, and produce applicant's elongated body which is not capable of flight with hydrodynamic wings which must be in contact with water when subsurface. Second, amended claim 44 specifically recites hydrodynamic wings to provide vertical forces when in subsurface operation.

Claim 45 is believed to be allowable as it is dependent on amended claim 40. Claim 46 corresponds to original dependent Claim 32, which was dependent on original 22, in turn dependent on original claim 20 (now 40). In the examiner's action of 10/02/01, item 11, examiner indicated that original claim 32 would be allowable if rewritten in independent form including all limitations of base and intervening claims. Examiner's action of April 30, 2003 cited Spear 1,154,215 as new basis for rejection. Spear differs qualitatively and operationally from applicant's embodiment of his invention shown in his Fig. 5 F, and described in section 7 of applicant's specifications as TH for submerged passive surveillance.

The many differences between Spears' and applicant's inventions are as follows:

	INVENTION	SPEAR	CALDERON
1	Type of craft	submarine	surface and subsurface
2	Structural features	inner and outer hulls	single hull
3	Water tanks	forward, middle and rearward	only forward and rearward
4	Function of water tanks	when flooded, boat "nearly	boat at rest at bottom of
<u> </u>		awash" (Col. 1, lines 51-52)	water, no forward speed
5	Size of rear tank	Length much greater than	Length approximately equal
		maximum width: Spear Fig.	to max beam: see applicant's
		5, aft of bulkhead 25	length 103 in Fig. 5 F with
			max beam in Fig. 5 B

1	
2	
3	
4	
5	
6	

6	Downward force for	Water ballast in subsurface	Hydrodynamic downward
	subsurface operation	operation tanks	forces from wings
7	Location of batteries	Below midbody	At ends of mid body
8	Location of propeller	Conventional at stern	Below mid body

Claim 46 has been amended to recite important qualitative, functional and operational differences between Spear's submarine and applicant's craft as follows:

- water craft is capable of stationary rest at bottom of water body with rear tank flooded (as distinct from "awash" on surface)
- the term "external surface envelope" has been changed to -- surface envelope -- to clarify that applicant does not claim external and internal hulls as in Spear
- body height forward in side view is restricted to be substantially less than body width at rear, a clear distinction over Spear (see discussion on claim 40).
- a maximum height in mid body which is no greater than the width at the rear, clearly different from Spear.

These distinctions and others have been incorporated in amendment of claim 46 which clearly make claim 46 allowable over Spear.

Regarding claims 47, 48 and 49, Applicant respectfully believes that these claims are allowable with claims 41, 43 and 43 respectively, and such action is respectfully requested. Likewise, claims 50, 51 and 52 are believed to be allowable as they depend from claims 25, 47 and 44, respectively, each of which are either allowable in and of themselves or depend from allowable claims. It is therefore believed that all remaining previously submitted claims are currently allowable.

Regarding new claims 53 and 54, applicant notes that during the interview of March 6, 2003, applicant reviewed the current efforts of state-of-the-art ships, towards low radar signature (see SHEET 4 in Appendix I of the present amendment taken from Navy Times Dec. 2, 2002 showing a stealth Trimaran from General Dynamics, a stealth Catamaran from Lockheed Martin, a stealth

surface effect monohull from J. McMullen, and a monohull from Northrop Grumman). Applicant pointed out the unique and superior radar avoiding features of TH's upper body above waterplane, conforming to its triangular shape at waterplane, such as in Figs. 3 and 5 of present applications, with its favorable upper body shape, recommended in page 9 of the specifications (lower middle) and paragraphs (d) of page 18.

This type of upper body which is a new inventive development for TH not shown before, exhibits unique cooperation with TH's triangular waterplane of its submerged shape, as is evident in the carefully drafted claim 53. It is respectfully submitted that this new claim ties the unique cooperation between the waterplane of the submerged hull portion with that of the planform of the upper body with considerable three-dimensional precision, including a requirement not to have step discontinuities in the body's surface which are radar reflective. This claim was reviewed by the examiner, and he indicated that it would be considered for allowance.

Claim 54 is is dependent on allowable Claim 40, and is similar to dependent Claim 50, except that it pertains to avoidance of detection when submerged, as indicated in pg. 9, paragraph 9 of the specifications, and as shown in the non circular shapes made principally of submerged flat panels shown in Figs. 5C, D, E and Fig. 3.

It is believed that the present amendments add no new matter and place the claims in condition for allowance over the cited prior art as is the custom in response to final rejection. Applicant further would like to thank the examiner for his time and efforts in communicating the deficiencies in the originally filed application and in the subsequent communications, and has attempted to correct all outstanding problems in this amendment.

Applicant is mailing this amendment after expiration of the three month response period but within the third month's extension of time permitted by 37 C.F.R. § 1.136 and accompanied by the fee set forth in 37 C.F.R. § 1.17(a). This application is thus believed to be in condition for allowance of all claims remaining herein, and such action is respectfully requested. Respectfully submitted, Adam H. Jacobs Registration Nº 37,852 Law Offices of Adam H. Jacobs 1904 Farnam Street, Suite 726 Omaha, Nebraska 68102 Attorney for Petitioner **CERTIFICATE OF MAILING** I hereby certify that this Amendment for a SUBMERSIBLE HULL AND HYDROFIELD, Serial Nº 09/677,583, was mailed by first class mail, postage prepaid, to the Mail Stop Non-Fee Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on this 28th day of October, 2003. 

-28-